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ABSTRACT

This work is designed to help introduce students in the Master of Public Administration program at Auburn University to the major types of research material that are available in the Ralph Brown Draughon Library. The exercise simulates a typical research process by posing a series of questions about a specific issue in the public administration field, namely the development and implementation of federal government policy on health maintenance organizations (HMO). The questions involve the identification and use of relevant books, articles, dissertations, hearings, reports, statutes, regulations, and court cases. A list of appropriate library reference tools and an answer key accompany the exercise, which is administered following an introductory lecture-tour. The average time required to complete the assignment is approximately five hours. (Author)

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FEDERAL HMO POLICY: A LIBRARY RESEARCH EXERCISE

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Auburn University, Alabama 36849

This work is designed to help introduce students in the Master of Public Administration program at Auburn University to the major types of research material that are available in the Ralph Brown Draughon Library. The exercise simulates a typical research process by posing a series of questions about a specific issue in the public administration field, namely the development and implementation of federal government policy on health maintenance organizations. The questions involve the identification and use of relevant books, articles, dissertations, hearings, reports, statutes, regulations, and court cases. A list of appropriate library reference tools and an answer key accompany the exercise, which is administered following an introductory lecture-tour. The average time required to complete the assignment is around five hours.

January 1986

IR051500

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FEDERAL HMO POLICY:

A LIBRARY RESEARCH EXERCISE

This assignment is designed to introduce you to the rich variety of source materials on American public administration that are available in the Ralph Brown Draughon Library. You will be given a series of questions relating to a particular issue in the public policy field. Each question requires the use of a different published source of information on the topic. By confronting you with a search problem that involves the use of a broad range of primary, secondary, and bibliographic sources, this exercise will help you develop the ability to research most any topic in the area of public administration.

After reading the questions, consult the proper sources and locate the requested facts. Write your answers in the spaces provided. Refer to the class library handout for a list of some appropriate sources. Of course, the library staff will gladly assist you with any problems.

1. You have just been assigned the task of writing a paper on the development and implementation of federal policy regarding health maintenance organizations (HMOs). Your instructor recommends that you consult Lawrence Brown's recent book on politics and health care in order to gain a preliminary understanding of the HMO issue.

   Use a LUIS terminal to find the cataloging record for Brown's book. Search by author.

   What is the call number of the book?

   What are the complete Library of Congress subject headings assigned to the book?

   Make a subject search in LUIS using the first heading assigned to Brown's book. Use the full heading.

   How many items does LUIS list under this subject?

   How many of the listed items were published by the United States government?

Find Brown's book on the shelf and briefly scan the contents. Use Chapter 5 to answer the following questions.

In what year did the federal Health Maintenance Organization Act pass?

Which two Congressional committees held hearings during the early 1970s on proposed HMO legislation?

2. You then decide to find a few relevant journal articles. You are interested in identifying articles published in academic/scholarly journals as well as ones found in professional/medical publications.

A colleague remembers seeing good articles on aspects of the HMO question in recent (1980-85) issues of Policy Studies Journal and Journal of Health Politics, Policy and Law. He believes that someone named Bonanno authored one of the articles. He also recalls a fine article by Bauman on the formulation and evolution of HMO policy. He believes it was published around 1976 in Social Science and Medicine.

Use appropriate indexes to find citations for these three articles. Complete the bibliographic entries listed below.

Author(s):

Article Title:

Journal Name: Policy Studies Journal

Volume:

Date:

Pages:

Author(s):

Article Title:

Journal Name: Journal of Health Politics, Policy and Law

Volume:

Date:

Pages:

Author(s):

Article Title:

Journal Name: Social Science and Medicine

Volume:

Date:

Pages:

Does the RBD Library receive these three journals? If so, indicate call numbers.

Policy Studies Journal

Does library have subscription? _____

Call number of journal: _____

Journal of Health Politics, Policy and Law

Does library have subscription? _____

Call number of journal: _____

Social Science and Medicine

Does library have subscription? _____

Call number of journal: _____

Find the Journal of Health Politics, Policy and Law article on the shelf. Scan the footnotes at the end of the article. What article is cited in note 29?

Author:

Article Title:

Journal Name:

Volume:

Date:

You then seek to determine whether any articles on HMO policy have appeared in such leading medical journals as JAMA, American Journal of Public Health, or New England Journal of Medicine.

Use an appropriate index to find a relevant article published in one of these journals. Try to find an article that appeared between 1971 and 1975, since you want to see how the professional medical community reacted to the federal HMO legislation. Indicate the article you selected by completing the bibliographic information below.

Author(s):

Article Title:

Journal Name:

Volume:

Date:

Pages:

3. After finding a variety of books and articles dealing with HMO policy, you decide to see if there are any recent dissertations on the topic.

Use Comprehensive Dissertation Index to find a recent (1980) political science dissertation about the development and implementation of federal policy on HMOs. Complete the bibliographic data below.

Author:

Title:

Institution:

Degree:

Date:

Pages:

In order to gain a fuller understanding of what this dissertation covers, you decide to read the corresponding abstract printed in Dissertation Abstracts International.

What does the author consider to be some of the main factors that accounted for the unsuccessful record of the federal HMO program?

4. Now that you have identified several pertinent secondary works, you decide to explore what kinds of government publications are available.

You figure that it would be helpful to find the text and legislative history of the original Health Maintenance Organization Act. Use United States Statutes at Large to answer the following questions.

On what date did the Health Maintenance Organization Act become law?

What is the appropriate legal citation for the act's location in United States Statutes at Large? (Example: 85 Stat. 403)

What is its Public Law number? (Example: P.L. 96-264)

What is the number of the Senate Report that accompanied the bill (S. 14) out of committee? (Example: S. Rpt. 98-56)

Remembering that Congress held hearings during the early 1970s on proposed HMO legislation, you decide to locate the printed documents that record these valuable committee proceedings. Use an appropriate index to identify the House committee hearings held in 1972 and 1973 on the HMO issue. Locate the volumes on the shelf and answer the following questions.

How many separate volumes of 1972 hearings were published?

Who represented the American Medical Association at the 1972 hearings?

Did the AMA representatives support or oppose the passage of the HMO development legislation being considered by the committee?

What is the SuDoc number of the 1973 hearing?

Who represented the Department of Health, Education and Welfare at the 1973 hearings?

Which of the two bills under consideration by the committee did the HEW representatives support?

You then seek to find the text of the Senate Report that accompanied the Senate HMO bill (S. 14) out of committee. Find the report in the "Serial Set" and answer the following questions.

What is the number of the "Serial Set" volume that contains this particular Senate Report?

Which member of the Senate committee submitted a minority view that opposed passage of the HMO bill?

Because the Health Maintenance Organization Act has been amended several times in the years since its original passage, you decide to find the current codification of all federal laws pertaining to HMOs. Use the 1982 edition of United States Code to answer the following questions.

Which title of USC contains the principal federal laws on the organization and operation of HMOs?

Which section of that title requires the Secretary of Health and Human Services to submit an annual report to Congress on federal assistance to HMOs?

In order to find out how federal agencies implement the various statutory provisions dealing with HMOs, you decide to examine the body of pertinent federal regulations. Use Code of Federal Regulations to answer the following questions.

Which title of CFR contains the main body of regulations dealing with HMOs?

Which section of that title specifies application requirements for becoming a federally qualified HMO?

You then decide to identify some relevant publications issued by government agencies concerned with HMO policies and operations. You are especially interested in finding studies prepared by the Department of Health and Human Services and the General Accounting Office. Use an appropriate index to find 1) the HHS annual report on the HMO system for fiscal year 1981 and 2) a 1978 GAO report on the performance of 14 federally qualified HMOs. Complete the bibliographic data below.

Agency Author:

Title:

Date:

Pages:

SuDoc Number:

Agency Author:

Title:

Date:

Pages:

SuDoc Number:

Locate the two documents and scan the contents of each. Answer the following questions.

What does the Director of the Office of Health Maintenance Organizations say in his introduction to the HMO annual report regarding future federal involvement with HMO developmental grants?

According to the introductory digest of the GAO report, what three problems with federal implementation of the Health Maintenance Organization Act still hampered development of the HMO concept?

5. After examining assorted government materials, you decide to investigate what sorts of litigation have grown out of the HMO system.

   Use appropriate legal sources to identify two federal court cases that involve HMOs or cite HMO statutes. Indicate case names and citations below. (Example: Jones v. United States, 357 F. Supp. 103)

   1)

   2)

   Select one of the cases and find the text of the decision in an appropriate legal source. Make a photocopy of the first page of the ruling. Attach the copy to the back of this exercise.

FEDERAL HMO POLICY:

A LIBRARY RESEARCH EXERCISE

This assignment is designed to introduce you to the rich variety of source materials on American public administration that are available in the Ralph Brown Draughon Library. You will be given a series of questions relating to a particular issue in the public policy field. Each question requires the use of a different published source of information on the topic. By confronting you with a search problem that involves the use of a broad range of primary, secondary, and bibliographic sources, this exercise will help you develop the ability to research most any topic in the area of public administration.

After reading the questions, consult the proper sources and locate the requested facts. Write your answers in the spaces provided. Refer to the class library handout for a list of some appropriate sources. Of course, the library staff will gladly assist you with any problems.

1. You have just been assigned the task of writing a paper on the development and implementation of federal policy regarding health maintenance organizations (HMOs). Your instructor recommends that you consult Lawrence Brown's recent book on politics and health care in order to gain a preliminary understanding of the HMO issue.

   Use a LUIS terminal to find the cataloging record for Brown's book. Search by author.

   What is the call number of the book?

   RA 413.5 .U5 B76 1983

   What are the complete Library of Congress subject headings assigned to the book?

   HEALTH MAINTENANCE ORGANIZATIONS--UNITED STATES
   MEDICAL POLICY--UNITED STATES

   Make a subject search in LUIS using the first heading assigned to Brown's book. Use the full heading.

   How many items does LUIS list under this subject?

   19 (as of 20 JAN 86)

   How many of the listed items were published by the United States government?

   None (as of 20 JAN 86)

Find Brown's book on the shelf and briefly scan the contents. Use Chapter 5 to answer the following questions.

In what year did the federal Health Maintenance Organization Act pass?

1973

Which two Congressional committees held hearings during the early 1970s on proposed HMO legislation?

Senate Committee on Labor and Public Welfare,
Subcommittee on Health
House Committee on Interstate and Foreign Commerce,
Subcommittee on Public Health and Environment

2. You then decide to find a few relevant journal articles. You are interested in identifying articles published in academic/scholarly journals as well as ones found in professional/medical publications.

A colleague remembers seeing good articles on aspects of the HMO question in recent (1980-85) issues of Policy Studies Journal and Journal of Health Politics, Policy and Law. He believes that someone named Bonanno authored one of the articles. He also recalls a fine article by Bauman on the formulation and evolution of HMO policy. He believes it was published around 1976 in Social Science and Medicine.

Use appropriate indexes to find citations for these three articles. Complete the bibliographic entries listed below.

PAIS
ABC Pol Sci
USPSD
SSCI

Author(s): Joseph Falkson
Article Title: "Market reform, health systems, and HMOs."
Journal Name: Policy Studies Journal
Volume: 9
Date: 1980/81
Pages: 213-220

PAIS
Index Medicus

Author(s): James Bonanno + Terrie Wetle
Article Title: "HMO enrollment of Medicare recipients: an analysis of incentives and barriers."
Journal Name: Journal of Health Politics, Policy and Law
Volume: 9
Date: Spring 1984
Pages: 41-62

SSCI
Index Medicus

Author(s): P. Bauman

Article Title: "Formulation and evolution of health maintenance organization policy, 1970-1973."

Journal Name: Social Science and Medicine

Volume: 10

Date: 1976 (March-April)

Pages: 129-142

Does the RBD Library receive these three journals? If so, indicate call numbers.

Policy Studies Journal

Does library have subscription? YES

Call number of journal: H1. P72

Journal of Health Politics, Policy and Law

Does library have subscription? YES

Call number of journal: RA 395.A3 J68

Social Science and Medicine

Does library have subscription? YES

Call number of journal: R726.5.S6

Find the Journal of Health Politics, Policy and Law article on the shelf. Scan the footnotes at the end of the article. What article is cited in note 29?

Author: P. Kissam

Article Title: "Health Maintenance Organizations and Federal Law: Toward a Limited Theory of Reformmongering."

Journal Name: Vanderbilt Law Review

Volume: 29

Date: October 1976

You then seek to determine whether any articles on HMO policy have appeared in such leading medical journals as JAMA, American Journal of Public Health, or New England Journal of Medicine.

Index Medicus

Use an appropriate index to find a relevant article published in one of these journals. Try to find an article that appeared between 1971 and 1975, since you want to see how the professional medical community reacted to the federal HMO legislation. Indicate the article you selected by completing the bibliographic information below.

Author(s):

Article Title:

Journal Name:

Volume:

Date:

Pages:

Answers will vary

3. After finding a variety of books and articles dealing with HMO policy, you decide to see if there are any recent dissertations on the topic.

Use Comprehensive Dissertation Index to find a recent (1980) political science dissertation about the development and implementation of federal policy on HMOs. Complete the bibliographic data below.

Author: David H. Enochs

Title: "The development and implementation of federal policy concerning health maintenance organizations."

Institution: North Texas State University

Degree: Ph. D.

Date: 1980

Pages: 218

In order to gain a fuller understanding of what this dissertation covers, you decide to read the corresponding abstract printed in Dissertation Abstracts International.

What does the author consider to be some of the main factors that accounted for the unsuccessful record of the federal HMO program?

opposition from organized groups, difficulties in adapting HMOs to the traditional system of American health insurance, conflict with other federal health programs, and problems in the administration of the HMO program

(DAI, 41A, 3244)

4. Now that you have identified several pertinent secondary works, you decide to explore what kinds of government publications are available.

You figure that it would be helpful to find the text and legislative history of the original Health Maintenance Organization Act. Use United States Statutes at Large to answer the following questions.

On what date did the Health Maintenance Organization Act become law?

December 29, 1973

What is the appropriate legal citation for the act's location in United States Statutes at Large? (Example: 85 Stat. 403)

87 Stat. 914

What is its Public Law number? (Example: P.L. 96-264)

P.L. 93-222

What is the number of the Senate Report that accompanied the bill (S. 14) out of committee? (Example: S. Rpt. 98-56)

S. Rpt. 93-129

Monthly Catalog
CIS Index

Remembering that Congress held hearings during the early 1970s on proposed HMO legislation, you decide to locate the printed documents that record these valuable committee proceedings. Use an appropriate index to identify the House committee hearings held in 1972 and 1973 on the HMO issue. Locate the volumes on the shelf and answer the following questions.

How many separate volumes of 1972 hearings were published?

4

Who represented the American Medical Association at the 1972 hearings?

Dr. John R. Kernodle, vice chair, Board of Trustees
Harry Peterson, director, Legislative Department
Dr. Russell B. Roth, Speaker, AMA House of Delegates

Did the AMA representatives support or oppose the passage of the HMO development legislation being considered by the committee?

Oppose

What is the SuDoc number of the 1973 hearing?

Y4. In 8/4 : 93-26

Who represented the Department of Health, Education and Welfare at the 1973 hearings?

Frank Carlucci, Under Secretary
Scott Fleming, Deputy Assistant Secretary
Dr. Gordon Macleod, Director, HMO Service
Dr. John S. Zapp, Deputy Assistant Secretary

Which of the two bills under consideration by the committee did the HEW representatives support?

HR. 4871

You then seek to find the text of the Senate Report that accompanied the Senate HMO bill (S. 14) out of committee. Find the report in the "Serial Set" and answer the following questions.

What is the number of the "Serial Set" volume that contains this particular Senate Report?

13017-2

Which member of the Senate committee submitted a minority view that opposed passage of the HMO bill?

Senator Peter H. Dominick

Because the Health Maintenance Organization Act has been amended several times in the years since its original passage, you decide to find the current codification of all federal laws pertaining to HMOs. Use the 1982 edition of United States Code to answer the following questions.

Which title of USC contains the principal federal laws on the organization and operation of HMOs?

Title 42

Which section of that title requires the Secretary of Health and Human Services to submit an annual report to Congress on federal assistance to HMOs?

section 300e-14

In order to find out how federal agencies implement the various statutory provisions dealing with HMOs, you decide to examine the body of pertinent federal regulations. Use Code of Federal Regulations to answer the following questions.

Which title of CFR contains the main body of regulations dealing with HMOs?

Title 42

Which section of that title specifies application requirements for becoming a federally qualified HMO?

Section 110.604

You then decide to identify some relevant publications issued by government agencies concerned with HMO policies and operations. You are especially interested in finding studies prepared by the Department of Health and Human Services and the General Accounting Office. Use an appropriate index to find 1) the HHS annual report on the HMO system for fiscal year 1981 and 2) a 1978 GAO report on the performance of 14 federally qualified HMOs. Complete the bibliographic data below.

Monthly Catalog

Agency Author: Office of Health Maintenance Organizations, Public Health Service, Department of Health and Human Services

83-22370 (microfiche)

Title: Office of Health Maintenance Organizations Annual Report to Congress (7th)

Date: 1982

Pages: iii, 119 (2 microfiche)

SuDoc Number: HE 20.20:981

Agency Author: General Accounting Office

78-25789 (microfiche)

Title: Can health maintenance organizations be successful?: an analysis of 14 federally qualified HMOs.

Date: 1978

Pages: iv, 72 (1 microfiche)

SuDoc Number: GA 1.13:HRD-78-125

Locate the two documents and scan the contents of each. Answer the following questions.

What does the Director of the Office of Health Maintenance Organizations say in his introduction to the HMO annual report regarding future federal involvement with HMO developmental grants?

(i) federal HMO developmental grants are being phased out

I. Reference Works

Public Administration Dictionary (Ref JA61.C47)
Guide to Library Research in Public Administration (Ref JF1351.S51)
A Handbook of Information Sources and Research Strategies in Public Administration (Ref JF1351.R63)
Current Municipal Problems (Ref JS39.C85)

II. Bibliographies

Public Administration Series: Bibliography (3rd fl)
CPL Bibliographies (Z5942.C684)
The Bureaucratic State (JF1351.M53 1984)
Comparative Public Administration (JF1341.H8 1984)
Public Choice Theory in Public Administration (JF1411.L67 1984)
American Public Administration (Ref JF1351.A53 1983)
Public Administration in Rural Areas and Small Jurisdictions (JS425.H726 1983)

III. Indexes and Abstracts

Public Affairs Information Service Bulletin (3rd fl)
Urban Affairs Abstracts (3rd fl)
Sage Public Administration Abstracts (3rd fl)
ABC Poli Sci (3rd fl)
International Political Science Abstracts (3rd fl)
United States Political Science Documents (3rd fl)
Political Science Abstracts (Ref JA86.U643)
International Bibliography of the Social Sciences: Political Science (3rd fl)
Social Sciences Citation Index (3rd fl)
Index to Legal Periodicals (3rd fl)
Criminal Justice Periodicals Index (3rd fl)
Criminal Justice Abstracts (3rd fl)
Police Science Abstracts (3rd fl)
Criminology and Penology Abstracts (3rd fl)
Personnel Literature (3rd fl)
Personnel Management Abstracts (3rd fl)
Work Related Abstracts (3rd fl)
Comprehensive Dissertation Index (3rd fl)

IV. Legal Information Sources

United States Code (MADD)
United States Statutes at Large (MADD)
Code of Federal Regulations (MADD)
Federal Register (MADD)
United States Reports (KF101.A24)
Federal Reporter Second Series (KF133.F52)
Federal Supplement (KF120.F443)

Regional Law Reporters
Law Digests
Federal Regulatory Rulings

V. Government Publications

Advisory Commission on Intergovernmental Relations
Administrative Conference of the United States

Equal Employment Opportunity Commission
Federal Labor Relations Authority
General Accounting Office
House Committee on Government Operations
Senate Committee on Governmental Affairs
Office of Personnel Management

Monthly Catalog of United States Government Publications (MADD)
Index to United States Government Periodicals (MADD)

VI. Sample Luis Headings

PUBLIC ADMINISTRATION
BUREAUCRACY
POLICY SCIENCES
PERSONNEL MANAGEMENT
CIVIL SERVICE
LOCAL GOVERNMENT
MUNICIPAL GOVERNMENT
FINANCE, PUBLIC
LOCAL FINANCE
STATE GOVERNMENTS
INTERGOVERNMENTAL FISCAL RELATIONS

VII. Other Services

Online database searching
Interlibrary loan